Fair Housing Initiatives and Housing Counseling Programs Application

1999

U.S. Department of Housing and Urban Development
Andrew Cuomo, Secretary

hud
YOUR COMMUNITY PARTNER

The Housing Counseling Program
OMB Approval No. 2502-0261 (exp. 4/28/98)

Fair Housing Initiatives Program
OMB Approval No. 2529-0033 (exp. 2/28/2000)

The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine eligibility, and establish grant amounts.

Selection of applications for funding under the **Housing Counseling Program** and the **Fair Housing Initiatives Program** is based on the rating factors for these programs listed in the SuperNOFA for Housing and Community Development Programs published on Feb. 26, 1999.

Public reporting burden for the collection of information for the Housing Counseling Program is estimated to average 13 hours and the reporting burden for the collection of information for the Fair Housing Initiatives Program is estimated to average 53 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

The information submitted in response to the notice of funding availability for the Housing Counseling Program and the Fair Housing Initiatives Program is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub. L. 101-235, approved Dec. 15, 1989, 42 U.S. C. 3545).

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, D.C. 20410-0001

THE SECRETARY

February 26, 1999

Dear Friend:

In 1998, as part of our effort to streamline and improve the way we do business, the Department of Housing and Urban Development issued its first three Department-wide SuperNOFAs (Notice of Funding Availability). Previously, HUD issued as many as 40 individual NOFAs each year, with varying rules and application processing requirements. These different rules, procedures, publication schedules and funding approaches unintentionally posed barriers to comprehensive local planning and broad-based solutions. The old approach required communities to respond to HUD's needs instead of HUD responding to local needs.

When I became Secretary, I changed this ineffective approach to funding. The changes we made last year represented a significant improvement to our funding of local programs. We issued three comprehensive SuperNOFAs for: 1) housing and community development programs; 2) economic development and empowerment programs; and 3) targeted housing and homeless assistance. We even issued a guidebook to the SuperNOFA process, as well. Everyone interested in HUD funding has benefited from this consolidated approach.

For Fiscal Year 1999, HUD is further improving the funding process by issuing a single SuperNOFA. This SuperNOFA for HUD's Housing, Community Development and Empowerment Programs consolidates last year's three SuperNOFAs into just one. It encompasses HUD's economic development programs; our housing programs, including targeted housing and homeless assistance; as well as the Youthbuild and Self-Help Homeownership Opportunity Program. Finally, we are publishing it ahead of our 1998 schedule, giving you more time to coordinate, plan, and prepare your SuperNOFA application.

You can boost the impact of HUD's programs by combining them with other Federal, State or local resources. Our goal is to help you use the SuperNOFA process to create holistic, coordinated strategies that combine HUD support with other resources to make your community a better place to live.

Good Luck. We hope you are a successful applicant, and we look forward to working with you to address the needs and interests of your community.

Sincerely,

Andrew Cuomo

Application Kit 1999

Fair Housing Initiatives Program (FHIP) and Housing Counseling Program

Sponsored by the
U.S. Department of Housing and Urban Development
Andrew Cuomo, Secretary

General Instructions

To further HUD's objectives of improving customer service and providing you the necessary tools to revitalize your community, HUD is continuing the consolidation of competitive programs that it began with the FY 1998 SuperNOFA (Notice of Funding Availability). For FY 1999, numerous competitive programs are being consolidated into one SuperNOFA announcement. The goal of this consolidation is to make HUD's competitive grant programs easier to access, easier to understand, and easier to coordinate. By providing a menu of potential funding sources at one time during the year, your community will be able to create integrated solutions to problems in your community, and plan comprehensively.

As part of this consolidated approach, HUD has further streamlined the application process to reduce the administrative and paperwork burdens associated with applying for more than one program. We have grouped together separate HUD programs that provide similar types of assistance so that if you are eligible for, and want to apply for, more than one program, you do not have to create certain information required by each program more than once. These are first steps. HUD intends to streamline the application process even further next year by learning from you how it can be improved. A comment/suggestion form is included in this application kit. We hope that you will provide us with input so that we may continually improve the competitive grant process.

This application consolidates two programs for outreach, counseling and other services. Approximately, $31,600,000 is available as follows:

Program	**Approx. Amt.**
Housing Counseling Program	$ 16,600,000
Fair Housing Initiatives Program:	
Private Enforcement Initiative (PEI)	
- General Multi-Year Component	$ 7,800,000
- Joint Enforcement Project Component	$ 1,500,000
Education and Outreach Initiative (EOI)	
- Regional, Local and Community-based Program	
- General Component	$ 2,550,000
- Homeownership Component	$ 750,000
- Disability Component	$ 750,000
- National Program	
- Best Practices Component	$ 450,000
Fair Housing Organizations Initiative (FHOI)	
- Establishment of New Organizations Component	$ 800,000
- Continued Development Component	$ 400,000

The application materials for these programs have been included in one application because each program's activities complement and support the activities of the other. One of the goals of the Housing Counseling Program is to help tenants and homeowners meet the responsibilities of tenancy and homeownership, respectively. Included in these responsibilities is a need to understand how fair housing laws can expand and create new housing opportunities. Funding through the Fair Housing Initiatives Program (FHIP) can help support this. Similarly, projects that educate the public and enforce fair housing laws under FHIP could benefit from tenancy and homeownership counseling funded by the Housing Counseling Program.

If you are eligible for, and choose to apply for, both programs or more than one FHIP Component, you will find this to be a streamlined application process, since information on both programs is available in one application. In this way HUD has eliminated, the duplication associated with applying for these two programs. **Eligible applicants are not obligated to apply for funding under both programs.**

Application Parts

This application has four parts. Part I is the Housing Counseling Program. Part II is the Fair Housing Initiatives Program. Part III contains all of the required standard forms and certifications for both programs and an acknowledgment of receipt HUD will send to you upon receiving your application. Part IV is the SuperNOFA General Section and both Program Sections as published in the Federal Register.

Part I: Housing Counseling Program

Part I contains a description of, and the application materials and instructions for, the Housing Counseling Program. Additional information on this program can be found in HUD Handbook 7610.1 Housing Counseling Handbook (Rev.4) at http://www.HUD.gov. The Housing Counseling Program provides counseling and advice to tenants and homeowners to assist them in improving their housing conditions and meeting the responsibilities of tenancy and homeownership. Eligible applicants are agencies approved as housing counseling agencies by HUD on or before January 31, 1999, and State Housing Finance Agencies.

As a private or public nonprofit organization that provides housing counseling services to clients, directly or through affiliates or branches, you can apply to become a HUD-approved housing counseling agency. If you are interested in applying for HUD approval, please refer to the HUD Handbook described above, and the Question Section at the end of these General Instructions for contact information.

HUD continues to encourage Housing Counseling agencies to conduct community outreach activities to increase the awareness of homeownership opportunities for low- and moderate-income households, minorities and individuals with disabilities. This year HUD is again encouraging the counseling of first-time homebuyers through Homebuyer Education and Learning Program (HELP) training sessions, and the counseling of eligible persons 62 years of age and older who are in need of income, or home repairs to use a Home Equity Conversion Mortgage (HECM).

Part II: Fair Housing Initiatives Program (FHIP)

Part II contains a description of, and the application materials and instructions for, the Fair Housing Initiatives Program (FHIP). The regulations governing this program are attached to this application kit. The purpose of the FHIP Program is to increase compliance with the Fair Housing Act and substantially equivalent State and local fair housing laws.

A variety of organizations are eligible to apply for FHIP, including Qualified Fair Housing Organizations (QFHOs), Fair Housing Organizations (FHOs), public or private nonprofit organizations or institutions and other public or private entities that are working to prevent or eliminate discriminatory housing practices; State and local governments, and Fair Housing Assistance Program (FHAP) Agencies.

An FHO is a private, tax-exempt nonprofit charitable organization that is currently engaged in complaint intake and/or investigation, testing for fair housing violations, and enforcement of meritorious claims. A QFHO is a FHO with at least two years of experience aggregated over the preceding three-year period. Organizations interested in becoming a FHO should refer to the Question Section at the end of these General Instructions for contact information.

There are eight components under FHIP's three initiatives. A separate application must be submitted for each component for which funding is requested.

1. The Private Enforcement Initiative (PEI): The objective of the initiative is to support private fair housing enforcement organizations in their investigations of alleged violations of the Fair Housing Act and substantially equivalent State and local fair housing laws.

2. The Education and Outreach Initiative (EOI): The objective of this initiative is to assist projects which inform the public about their rights and obligations under the Fair Housing Act and substantially equivalent State and local fair housing laws, to educate the public about the procedure for filing claims with HUD, and to increase the referrals of credible, legitimate fair housing cases (complaints) and other information to HUD.

3. The Fair Housing Organizations Initiative (FHOI): The objective of this initiative is to establish new fair housing enforcement organizations and to build the capacity of newly established fair housing enforcement organizations to carry out enforcement activities.

Part III: Standard Forms and Certifications

Part III contains all of the forms and certifications for both programs. These forms and certifications are in addition to those required by the program(s) for which you are applying. A checklist of all required forms and certifications is included in Part 1 and Part II. You should review this checklist for all required forms and certifications.

Required for the Housing Counseling Program and/or the Fair Housing Initiatives Program (FHIP):

- Standard Form (SF)-424, Application for Federal Assistance, and the Application for Federal Assistance Funding Matrix

- Standard Form (SF)-424B, Assurances--Non-Construction Programs
- Form HUD-50070, Certification for a Drug-Free Workplace

- Form HUD-50071, Certification of Payments to Influence Federal Transactions, and Standard Form (SF)-LLL, Disclosure of Lobbying Activities, if applicable.

- Form HUD-2880, Applicant/Recipient Disclosure/Update Report, and additional instructions.

- Certification Regarding Debarment and Suspension

- Certification of Consistency with the EZ/EC Strategic Plan (as applicable) - Two bonus points will be awarded for eligible activities/projects proposed to be located in federally designated Empowerment Zones (EZ), Enterprise Communities (EC), and serve the EZ, EC, residents, and are certified to be consistent with the applicable strategic plan.

- Acknowledgment of Application Receipt (optional) - A receipt is provided for you to send with your application if you want HUD to notify you that your application was received.

Required for FHIP only: If you are applying for FHIP, the following items are required in addition to the forms and certification listed above.

- Listing of Current or Pending Grants/Contracts/Other Financial Agreements
- Certification of Consistency with the Consolidated Plan
- SF-424A Budget Information - Non-Construction Programs
- Proof of tax exempt status (applicable to PEI and FHOI)

Part IV: Super Notice of Funding Availability (NOFA)

Part IV contains the portions of the SuperNOFA, as published in the Federal Register on February 26, 1999, relevant to this application: the General Section including a listing of HUD State and Area Offices, the Housing Counseling Program Section, and the Fair Housing Initiatives Program section. The General Section describes the purposes of the SuperNOFA, the application submission requirements, and other general information. The Program Sections of the SuperNOFA contain important information on eligibility, funding amounts and eligible activities, detailed information on the rating factors and award selection processes to be used, and other information. You should pay close attention to both the General Section and the Program Section(s) as you prepare your application(s).

Scoring

HUD will review, rate and rank each program separately based on the criteria in the SuperNOFA. The maximum points for each program is 102 points. There are five factors that will be used to evaluate and assign (up to 100 points) for each application as follows: Factor 1 - Capacity of the Applicant and Relevant Organizational Experience, Factor 2 - Need/Distress/Extent of the Problem, Factor 3 - Soundness of Approach, Factor 4 - Leveraging Resources, and Factor 5 - Comprehensiveness and Coordination.

Two bonus points will be awarded for eligible activities/projects proposed to be located in federally designated Empowerment Zones (EZ), Enterprise Communities (EC), or Urban Enhanced Enterprise Communities (Enhanced EC) and serving the EZ, EC , or Enhanced EC resident. However, the EZ/EC or Enhanced EC must be determined to be high performing by HUD. HUD will publish a list of high performing EZ/EC in the Federal Register.

If you wish to be considered for these bonus points you should submit the Certification of Consistency with the EZ/EC Strategic Plan. Attached to this application kit is a listing of the EZs, ECs and contact information. You should, using this listing and HUD's web site at http://www.HUD.gov, first identify whether your proposed activity/project will be located within the boundaries of an EZ or EC, and if so, whether it will serve the residents. If "yes", then you should have the official authorized to sign the Certification of Consistency with the EZ/EC Strategic Plan, sign and date the Certification which would be included in your submission to HUD.
If the EZ/EC or Enhanced EC has been determined to be high performing you will be awarded 2 bonus points.

Assembling Your Application

In recent years, HUD has received record numbers of applications. To help expedite HUD's review process, please assemble your application in the order indicated by the program for which you are applying. A checklist and specific instructions are included under Part I (for a Housing Counseling Program application) and Part II (for a FHIP application).

As an eligible organization applying for both programs, you must assemble and submit **a separate application for each program.** However, you have the option of preparing one narrative response to Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience and one narrative response to Rating Factor 5: Comprehensiveness and Coordination for both programs.. This eliminates the need for a separate narrative response for each program, because the narrative would provide information for both programs. Alternatively, you still have the option of preparing and submitting separate narratives for these factors for each program.

In addition, if you are applying for both programs, you have the option of submitting one complete set of all required forms and certifications. One set should contain original signatures, and should be accompanied by information stating which application has the set of original signatures. The second option is to submit a completed set of forms and certifications with original signatures for each program.

Where to Submit

You should consult the program parts (Part I and Part II) for the specific mailing addresses to send your completed application(s).

Questions

For answers to your questions on the **Housing Counseling Program**, you have two options. If you are a local housing counseling agency or state housing finance agencies, you may contact the HUD Homeownership Center serving your area as identified at the end of Part I. If you are a national, regional, and multi-state organizations, please contact William Feingold, Housing Specialist, Program Support Division, Office of Insured Single Family Housing, Room 9166, U.S. Department of Housing and Urban Development, Washington, D. C. 20410. The phone number is (202) 708-0317. The hearing impaired may access this number by calling the Federal Information Relay Operator at 1-800-877-8339 (TTY).

For answers to your questions on the **Fair Housing Initiatives Program**, you have two options. You may contact Ivy L. Davis, Director, FHIP/FHAP Support Division, Office of Programs at (202) 708-0800 (this is not a toll-free number). If you have a hearing or speech impairment you may call 1-800-290-1617. You may also call the SuperNOFA Information Center with questions at 1-800-HUD-8929. If you have a hearing or speech impairment, you may call the Center's TTY number at 1-800-483-2209.

Due Date

Completed applications for the Housing Counseling Program must be received no later than 6:00 p.m. local time on May 25, 1999 at the appropriate address identified in Part I.

Completed applications for the Fair Housing Initiatives Program (all Initiatives/Components) are due no later than 12:00 midnight, Eastern Standard Time on April 27, 1999 (see FHIP application instructions) at the address identified in Part II.

Part I:
The Housing Counseling Program

Part I: The Housing Counseling Program

General Information

Background
HUD carries out a nationwide, comprehensive housing counseling program through HUD-approved local and national, regional, and multi-state, housing counseling agencies, as well as State Housing Finance Agencies Housing Counseling assists homebuyers, homeowners, and tenants to meet their housing needs and resolve their housing problems. To assist these agencies, HUD provides appropriated funds that are awarded on a competitive basis. You may obtain additional information on the Housing Counseling program in HUD Handbook 7610.1 (Rev.4) which can be found on the HUD Website at http://www.HUD.gov.

Eligible Applicants
You may compete for HUD housing counseling funds, if you have been approved by HUD as a housing counseling agency on or before January 31, 1999, or if you are a State Housing Finance Agency.

If you are a local HUD-approved counseling agency that is an affiliate of a national, regional, or multi-state applicant, you may apply **EITHER** under the intermediary organization's application **OR** you may apply separately from the intermediary organization's application but **you may not apply under both. If duplicate applications are submitted, HUD will reject them, and disqualify both applicants.**

Eligible Activities
Your Housing Counseling activities should include the client services identified in HUD Handbook 7610.1, (Rev. 4) Housing Counseling Handbook and more specifically described by each applicant in the housing counseling plan submitted by that applicant to HUD as part of this application. As a minimum, the activities should, with the exception shown below, provide for:

- Conducting pre-purchase counseling to first-time homebuyers

- Conducting delinquency and default counseling to homebuyers, homeowners, and renters

The exception~~:~~ would be that for applicants who received HUD approval to provide **ONLY** one or more of the following types of counseling: default counseling; Home Equity Conversion Mortgage counseling; pre-purchase counseling; and renter counseling may be funded to provide only the kind of counseling for which HUD approved the applicant.

Submitting Your Application
If you are a <u>local housing counseling agency</u> or <u>state housing finance agency</u>, you should submit AN ORIGINAL AND TWO COPIES of the completed application to the HUD Homeownership Center which has jurisdiction over the locality, area, or state in which your proposed program is located. You may send the copies to the attention of the Program Support Division Director, and indicate on the envelope, "FY 1999~~8~~ Counseling Application." You can find a list of Program Support Division Directors, HUD Homeownership Centers and jurisdictions at the end of Part I.

If you are a national, regional or multi-state housing agency, you should submit AN ORIGINAL AND TWO COPIES of the completed application to the Director, Program Support Division, Office of Single Family Housing, Room 9166, U.S. Department of Housing and Urban Development, Washington, DC 20410. The envelope should be clearly marked, "FY 1999 Intermediary Application."

Date of Issuance of Grant Awards
HUD intends to make awards and notify successful applicants as soon as possible after the deadline for receipt of applications. If HUD selects you as a grantee and you already have an active grant with un-invoiced funds, you may NOT commence counseling activity under your 1999 grant until you have provided housing counseling services and invoiced HUD for those services to close out your previous grant. HUD will **NOT** extend the term of any previously-awarded grant.

Funding Limitations
HUD intends that the grant amount you may receive will cover only a portion of the costs your agency incurs to deliver counseling services. You must have funds from other sources that, in conjunction with the HUD grant, cover your agency's costs.

Application Instructions

I. Presentation and Organization of the Application

A. Each exhibit listed below must be clearly marked, pages must be numbered sequentially, and divider pages with tabs must be inserted in the package to identify and separate each exhibit and its supporting materials. Applications must be submitted on 8.5" X 11" paper of reproducible quality. Applications should be bound in a fashion which facilitates an efficient review of the material such as insertion in a ring binder.

B. Do not use a transmittal letter. The Standard Form 424, Application for Federal Assistance and the Matrix (listed below), serves that purpose.

C. Do not submit unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective response to this Notice of Funding Availability (NOFA). Elaborate art work, expensive paper, and visual or other presentation aids are neither necessary nor desirable.

II. Application Requirements

The items listed below (1-19) represent the required components for a complete submission this year. **You may use this checklist to verify that your application is complete prior to submission and in the correct order as specified by the list. However, do not include the checklist with your application.**

Items 1, and 3-9 can be found in Part III of this application kit.

( ) 1. **Standard Form 424, Application for Federal Assistance and Matrix**. PLACE THE SF 424 AND MATRIX AS THE FIRST AND SECOND PAGES OF YOUR APPLICATION followed by the other documents specified below.

Follow these instructions in addition to the instructions on the SF-424:

a. <u>Block 3</u> Not applicable
b. <u>Block 4</u> The HUD office that receives your application will complete this block.
c. <u>Block 13</u> DO NOT complete this block. HUD will enter this information.
d. <u>Block 14a</u> Enter the Congressional District in which the <u>main</u> office of your agency is located.
e. <u>Block 15</u> Complete the Application for Federal Assistance Funding Matrix
f. <u>Block 17</u> Applicants **MUST** complete this block.
g. <u>Block 18d</u> The authorized representative of the applicant's organization **must** sign in Block 18d. ***Make certain the form is completed in accordance with all instructions.***

( ) 2. Congressional District Information. Indicate on a separate sheet of paper the names, political parties, and telephone numbers of the applicant's Senators and Congressional Representatives.

( ) 3. Standard Form 424B, Assurances--Non-Construction Programs

( ) 4. Drug-Free Workplace Requirements Certification

( ) 5. Form HUD-2880, Applicant/Recipient Disclosure/Update Report

( ) 6. Certification of Payments to Influence Federal Transactions, and Standard Form--LLL (if applicable), Disclosure of Lobbying Activities.

( ) 7. Certification Regarding Debarment and Suspension

( ) 8. Certification of Consistency with the EZ/EC Strategic Plan (as applicable) - Two bonus points will be awarded for eligible activities/projects proposed to be located in federally designated Empowerment Zones (EZ), Enterprise Communities (EC), or Urban Enhanced Enterprise Communities (Enhanced EC), and serve the EZ, EC, or Enhanced EC residents, and are certified to be consistent with the applicable strategic plan.

( ) 9. Acknowledgment of Application Receipt (optional) - A receipt is provided for you to send with your application if you want HUD to notify you that your application was received.

The forms for items 10-13 can be found at the end of this Part (Part I).

( ) 10. Form HUD-9902, Housing Counseling Agency FISCAL YEAR Activity Report, (Rev. 5/95), for fiscal year **October 1, 1997 through September 30, 1998.** If your agency was not approved by HUD for the entire fiscal year as listed above, you must still complete the form indicating the actual timeframe it represents. State Housing Finance Agencies must submit Form HUD-9902 for Housing Counseling activities in FY 98.

NOTE: Local agencies and/or national, regional, and multi-state intermediaries, and State Housing Finance Agencies must obtain completed HUD-9902's from every participating branch or affiliate and prepare a summary Form HUD-9902 to submit as part of the application. Branches and affiliates that fail to provide a completed form HUD-9902 may NOT participate in this funding application as a branch or an affiliate!

( ) 11. Computer Equipment Inventory

Every applicant must own computer hardware that meets or exceeds the following specifications, or state in its application that it will to purchase such equipment within 30 working days of notification of grant award.

The equipment that you own, or intend to purchase, MUST meet the following minimum standards:

HARDWARE

- 486DX2 - 66MHZ - 540 MB Hard Disk
- 16 MB RAM
- 101 Keyboard
- SVGA Color Monitor with at least 1mb of vram
- Surge protector
- FAX modem (at least 28.8 baud)
- HP4+ printer
- Mouse and card

SOFTWARE (for Windows where applicable and always latest version)

- Microsoft Windows (minimum 3.1)

- A "suite" such as Microsoft Office Professional. As an example, this particular package includes Word 6.0, Excel 5.0, PowerPoint 4.0 and Access 2.0. You may use any "suite" package, a multivender mix is unacceptable.

- ProComm for Windows (communications software)
- Internet Access Service

- Housing counseling case management and tracking software capable of exporting the HUD-9902 data into a database file, such as Data Now

( ) 12. **Budget Worksheet.** You must complete the Budget Worksheet indicating how you ~~it~~ will use the funds requested on the Standard Form-424 Matrix, and how it will use funds on hand. Keep the budget basic, using the Worksheet at the end of Part I

( ) 13. **Direct-labor and Hourly-labor rate and Counseling Time Per Client Chart.** HUD will use the data that you provide on the table at the end of Part I to determine payments to grantees. This information enables the Department to determine the average cost of the counseling services provided. The following data is requested: (1) direct-labor hourly rate (DLHR), and (2) the average number of hours a counselor spends providing housing counseling to, or on behalf of, a typical client for as long as that client remains an active participant in the applicant's housing counseling program. If you need more space to list counselors, reproduce the form as needed. <u>Intermediaries must also complete this information.</u>

( ) 14A. **Only the National, regional, or multi-state intermediary applicants, and State Housing Finance Agency applicants** are required to submit the list, and statements or affirmations shown below:

( ) 1. You must submit a list of all your affiliates or branches which shows its ~~the~~ name, address, telephone number, number of years of housing counseling experience, and the name of the housing counseling program director. Each affiliate or branch listed must have, in writing, agreed to have you serve as its funding source for HUD's housing counseling grant program. If HUD selects your organization for funding, after the awards are made you may modify the list by submitting changes to HUD in writing.

( ) 2. You must certify that each branch or affiliate is unique to your team.

( ) 3. If you are a National, regional or multi-state intermediary you must affirm that your branches or affiliates that choose your organization as its funding source **WILL NOT** undertake a separate application for funds either as an affiliate of another intermediary or directly as a HUD-approved local counseling agency. If you are a State Housing Finance Agency, this provision does not apply.

( ) 4. You must affirm that you have executed a sub-agreement with each of your branches or affiliates that clearly delineates mutual responsibilities for program management, and incorporates appropriate time frames for reporting results to HUD.

( ) 5. You must provide a statement that shows how you will manage <u>and</u> monitor the housing counseling process, including funding levels and counseling activities for each branch or affiliate.

( ) 6. You must certify that the quality of services provided by those of your affiliates or branches that are not HUD-approved, will meet or exceed standards for local HUD-approved agencies as indicated in HUD Handbook 7610.1, (Rev.4).

( ) 14B. **An applicant that is applying for funding as a Local HUD-approved Housing Counseling Agency** may apply, **EITHER** directly to HUD for funding, **OR** as part of a HUD-approved intermediary organization with which they are officially affiliated. If applying for funding directly, as a local agency, these agencies are required to include the list and statements or affirmations shown below:

( ) 1. Include a certification of the fact that you have not, and will not apply for these funds through any intermediaries with which you are affiliated.

( ) 2. Include a list of all branch offices, if any, with the names, addresses, and telephone numbers of the branches, as well as the name of the director of counseling programs for the branch office. If none, so state.

<u>Member, Affiliate, and Branch Offices of Intermediary Organizations</u>. A local HUD-approved counseling agency that is a member, affiliate, or branch office of a national, regional, or multi-state applicant may apply, **EITHER** under the intermediary organization's application, **OR** separately from the intermediary organization's application but not under **BOTH. HUD will reject <u>all</u> duplicate applications and disqualify both the local agency and its branches.**

Items 15-19 are the rating factors. Please consult the SuperNOFA in Part IV of this application, in addition to the information provided below, when preparing your responses.

( ) 15. **Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience**

<u>One Program</u>. If you are submitting an application for just the Housing Counseling Program **OR just one** Component of the Fair Housing Initiatives Program (FHIP), respond by writing and submitting a separate narrative response for the Housing Counseling Program, or a separate narrative response for the FHIP Initiative/Component for which you are applying. **Your narrative response should not exceed 10 pages.**

<u>Both Programs or Multiple FHIP Components.</u> If you are submitting an application for **both** the Housing Counseling Program **AND/OR** one or more FHIP Components, you have two options. The <u>first option</u> is to write a comprehensive narrative response so it provides complete information for **both** the Housing Counseling Program and the FHIP Component(s).

When you submit your separate applications for multiple FHIP Components, submit the identical combined narrative in its entirety in response to Rating Factor #1. **Your combined narrative must clearly provide all requested information for both programs, or in the case of multiple FHIP Components, for each Component. Your narrative response should not exceed 10 pages.**

The <u>second option</u> is to simply write and submit a separate narrative for the Housing Counseling Program **and** a separate narrative for each FHIP Component (if applying for more than one) in response to this rating factor. **Your narrative response should not exceed 10 pages. Please refer to the general instructions at the beginning of this application for additional information on applying for both programs.**

( ) a. Describe the knowledge, and recent and relevant experience of your proposed project director and staff (including the day-to-day program manager, consultants and contractors) in planning and managing programs for which funding is being requested. Describe your readiness and ability to immediately begin the proposed work plan, or for FHIP, on the date specified in the Statement of Work. For any personnel, including subcontractors, not yet hired or selected, describe the qualifications (in terms of required knowledge and experience) to be considered in the selection and how quickly the selection process will be completed.

For each identified employee and consultant/subcontractor to be allocated to the project, identify the titles, and describe the proposed number of staff hours and the roles to be performed.

( ) b. **Past HUD awards.** Describe your ability to attain measurable progress in the implementation of its most recent HUD funded project(s). Describe the activity(ies) undertaken, achievements and results, and the method of assessing project progress, including information on expenditures. Include in the description any problems or delays encountered during project implementation.

For FHIP, in addition, identify the HUD grant number for each project (if more than one) and include a copy of your most recent Standard Form (SF) 269a, Financial Status Report, for each project. HUD will consider its progress reviews for current grants, closeout assessments on grants closed within 18 months of the NOFA deadline, and any other evidence that documents a grantee's failure to comply with the grant award provisions under past FHIP awards in evaluating this factor.

For the Housing Counseling Program, in addition, submit a copy of your Final Report (which includes the Fiscal Year Activity Report, HUD-9902) for your last HUD grant. HUD will review any documentation concerning your noncompliance with the grant award provisions in effect for any past awards. If you were cited as having a negative finding for which corrective action was required by HUD, include a copy of your response to HUD outlining the steps to be taken to correct the finding(s), and describe the steps you have taken to date.

( ) c. If you **have not received HUD funding** in the past, describe your ability to attain measurable progress in managing projects, and carrying out grant management responsibilities for programs similar in scope or nature directly relevant to the work activities proposed. Describe the activity(ies) undertaken, achievements and results, and the method of assessing project progress. Include in the description any problems or delays encountered during project implementation.

( ) 16. Rating Factor 2: Needs/Extent of the Problem. A detailed, but concise, description of the housing counseling activities that you are proposing in response to the housing needs identified in your housing counseling plan. If housing market conditions have changed significantly in your area since your plan was approved by HUD, you should describe that in your application and indicate how you plan to address those conditions.

To the extent that the community you are serving has documented the need in the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI), references to these documents should be included in the response. If the proposed activities are not covered under the scope of the Consolidated Plan and AI, you should indicate such and use other sound data sources to identify the level of need for the proposed activity.

In responding to this factor, you will be evaluated on the extent to which you document a critical level of need for the proposed activities in the area where activities will be carried out. Examples of other reliable sources of data that might be used to demonstrate need, include, but is not limited to, economic and demographic data relevant to the target area.

Limit this narrative to not more than (two pages). (Length does **NOT** add merit to the description). **HUD will not consider more than the first two pages of a longer submission.**

( ) 17. **Rating Factor 3: Soundness of Approach**

Provide a copy of the current plan under which you operate. HUD is looking for:

( ) a. Efficient, effective and feasible work plans that meet the needs articulated in response to Rating Factor 2 in the NOFA, including the extent to which you provide geographic coverage for target areas as well as persons traditionally underserved;

( ) b. Clarity with regard to the specific tasks to be performed;

( ) c. Proposed tasks that use technically competent methodologies for conducting the work to be performed. HUD will make an evaluation of your soundness of approach by assessing the extent to which your proposed work plan identifies the types of service to be performed.

( ) d. Relationship between the proposed activities, community needs and purpose of the program funding.

( ) e. Provide a detailed but concise description of the strategies you propose to use to Affirmatively Further Fair Housing. Ideas for such actions are suggested in the NOFA, Section V, Rating Factor 3. Special consideration will be given to particularly innovative strategies to address these problems. Suggestions to meet the requirements to AFFH in the Housing Counseling Program include, but are not limited to:

1. **Affirmative Marketing and Outreach:** Carry out strategies to provide housing counseling to all eligible segments of your target area regardless of race, color, national origin, religion, sex, disability or familial status. Your strategy should include outreach to those persons, based on your experience, who would be the least likely to apply for and/or receive housing counseling. Examples of some actions would include: reaching targeted populations by extending zip codes in your service area; outreaching to those protected classes described above, that are not affiliated with those classes represented by your organization; making your office, and your information and services accessible persons with disabilities (e.g., use of ramps, sign language and home visits); and providing counseling in the languages that are predominate in your target area.

2. **Expanding Housing Choice:** Provide counseling which will assist clients in moving to low-poverty and low-minority concentrated areas; assist persons with disabilities in locating accessible housing; and assist clients in locating housing in areas with good transportation and job opportunities.

3. **Overcoming Community Problems:** Work with other community organizations to develop fair housing strategies that will be applicable to housing counseling activities and the community; advocate with lenders on behalf of clients to develop innovative lending criteria to meet the needs of those with acceptable credit, but have non-traditional financial histories; and advocate with

appraisers on behalf of clients to account for home accessibility features.

4. If you are a national, regional or multi-state intermediary or State Housing Finance Agency, you should describe the above actions taken by your affiliates, and the training, supervision, monitoring and technical assistance that you are providing on these issues.

( ) 18. **Rating Factor 4: Leveraging Resources**

This factor addresses your ability to secure community resources which can be combined with HUD's program resources to achieve program purposes. Your evidence of this would consist of copies of documents such as signed and dated letters or funding certifications from the funding source or sources that provide housing counseling funds. <u>For this purpose, HUD will NOT accept statements from you.</u> The statements must be from the funding source and must show the amount of funds available, and the period of time the funds are or will be available for use. Only those sources from which you currently receive funds, or from which you have a written commitment for funding that will commence within the fiscal year October 1, 1998-September 30, 1999, are acceptable. In addition to the award letters, if there are multiple funding sources, please provide a summary list which indicates the name of the source and the amount of funds awarded.

If you are a national, regional, or multi-state intermediary, you may include sources that provide housing counseling funds to branches or affiliates that fall under your response to this NOFA, if the required evidence is included in the application.

( ) a. <u>Private Sources</u>. Submit copies of signed commitments that you have for funding from private (non-governmental) sources.

( ) b. <u>Local Government Sources</u>. Submit copies of signed commitments that you have for funding from government sources located within your target area during the current fiscal year.

( ) 19. **Rating Factor 5: Comprehensiveness and Coordination**

<u>One Program</u>. If you are submitting an application for just the Housing Counseling Program **OR just one** Component of the Fair Housing Initiatives Program (FHIP), respond by writing and submitting a separate narrative response for the Housing Counseling Program, or a separate narrative response for the FHIP Initiative/Component for which you are applying. **Your narrative response should not exceed 10 pages.**

<u>Both Programs or Multiple FHIP Components.</u> If you are submitting an application for **both** the Housing Counseling Program **AND/OR** one or more FHIP Components, you have two options. The <u>first option</u> is to write a comprehensive narrative response so it provides complete information for **both** the Housing Counseling Program and the other than National Program FHIP Component(s) (See Factor #5 of the FHIP National Education and Outreach Initiative/Best Practices Component located in the FHIP Section below for information on submitting a narrative response for this Component).

When you submit your separate applications for multiple FHIP Components, other than the FHIP National Education and Outreach Program, submit the identical combined narrative in its entirety in response to Rating Factor #5. **Your combined narrative must clearly provide all requested information for both programs, or in the case of multiple FHIP Components, for each Component. Your narrative response should not exceed 10 pages.**

The second option is to simply write and submit a separate narrative for the Housing Counseling Program **and** a separate narrative for each FHIP Component (if applying for more than one) in response to this rating factor. **Your narrative response should not exceed 10 pages. Please refer to the general instructions at the beginning of this application for additional information on applying for both programs.**

( ) a. Describe the specific steps your organization took to identify and coordinate its proposed activities with those of other groups or organizations prior to submission. Include in your description how the proposed activities will complement and support all known activities and if funded, the specific steps your organization will take to share information on solutions and outcomes with others. Any written agreements, memoranda of understanding in place, or that will be in place after award should be described.

( ) b. HUD is working on addressing needs in a holistic and comprehensive manner. The Consolidated Planning process (which includes the Analysis of Impediments (AI) to Fair Housing Choice) is comprehensive and inclusive, and the scope of activities it covers is broad enough to have links directly or indirectly to your proposed activities.

  ( ) i. If your organization is currently active in your community's Consolidated Planning process, identify the topic/issue area(s) in which your organization participates and, where applicable, how the topic/issue area(s) relates to your organization's proposed activities. Describe your organization's level of participation (including active involvement in any committees).

  ( ) ii. If your organization is **not** currently active, consult your local HUD State or Area Office for information on the Consolidated Planning process for your area, or visit HUD's Website at http://www.HUD.gov. Describe the specific steps your organization will take in the future to become active in your community's process.

( ) c. Describe your organization's linkages or the specific steps your organization will take to develop linkages with other organizations through meetings, information networks, planning processes or other mechanisms to coordinate comprehensive solutions with:

  ( ) i. Other HUD-funded projects/activities outside the scope of those covered by the Consolidated Plan/AI; and

  ( ) ii. Other Federal, State or locally (including private) funded activities, including those proposed or on-going in the community(s) served.

Housing Counseling Agency
Fiscal Year Activity Report

Read the instructions on the back of this form.

U.S. Department of Housing and Urban Development
Office of Housing
Federal Housing Commissioner

OMB Approval No. 2502-0261 (exp. 4/30/98)

1. Counseling agency name & address:

☐ Check here if this is a new address

2. **Reporting Year:**
from Oct 1, 199____
to Sep 30, 199____

3. **Number of Clients Counseled this Report Period**

		All Counseling Activities	HUD Grant Activities
	1. Homeowners (mortgage paid off)		
	2. Mortgagors (own property covered by mortgage)		
	3. Potential Mortgagors (want to purchase housing)		
	4. Renters (occupy rental property)		
	5. Potential Renters (want to rent housing)		
	6. Homeless		
	7. Other		
	8. Total		
Race/Ethnicity:	a. American Indian / Alaskan Native		
	b. Asian / Pacific Islander		
	c. Black Non-Hispanic		
	d. Hispanic		
	e. White Non-Hispanic		

4. **Results of Counseling**

		All Counseling Activities	HUD Grant Activities
Homeowners	9. Obtained a Home Equity Conversion Mort.(HECM)		
	10. Other		
	11. Total		
Mortgagors	12. Obtained a HECM		
	13. Brought mortgage current		
	14. Forbearance agreement		
	15. Mortgage assigned to HUD		
	16. Executed a deed-in-lieu		
	17. Sold their property		
	18. Mortgage foreclosed		
	19. Rented alternative housing		
	20. Other		
	21.Total		
Potential Mortgagors	22. Purchased housing		
	23. Decided not to purchase		
	24. Other		
	25. Total		
Renters	26. Purchased housing		
	27. Rented alt. housing		
	28. Other		
	29. Total		
Potential Renters	30. Purchased housing		
	31. Rented alt. housing		
	32. Other		
	33. Total		
Homeless	34. Occupied “transitional” housing		
	35. Occupied “emergency shelter”		
	36. Occupied permanent hsg. for handicapped		
	37. Entered public or prvt. section traditional hsg.		
	38. Other		
	39. Total		

5. **HUD Grant Activity - Summary Data**

HUD Grant No. From Block 3, Form HUD-1044	HUD Grant Amount From Block 14, Form HUD-1044	Number of Clients	Amount Invoiced
	Total:		

6. Name, Title, & Signature of Person Authorized to Sign this Report :

x Date :

Instructions for Form HUD-9902, Housing Counseling Agency Fiscal Year Activity Report

This **HUD Fiscal Year** Activity Report enables a HUD-approved housing counseling agency to report all of its housing counseling activity for clients with housing needs and problems. Paragraph 1-7A of the HUD Housing Counseling Program Handbook 7610.1 provides the definition of "client," "housing need," and "housing problem."

1. **Counseling Agency Name & Address** - Enter the official name of your agency in the format you submitted to HUD. If the address you enter is a new address, check the box indicating this change.
2. **Enter Report HUD Fiscal Year** - This is an annual report covering the HUD Fiscal Year. Indicate the HUD Fiscal Year covered by the report. Even if your agency was approved by HUD for less than the full year report period, include clients counseling during the full report year.

General

Clients - Please remember that you report **clients** as defined in paragraph 1-7A of HUD's Housing Counseling Program Handbook 7610.1. You are **not** reporting the number of individual persons you counseled.

Examples:

a. A **husband and wife** or a **brother and sister** or **three friends** who are mortgagors under the same note count as **one client**.

b. **Three renting families** who experience the **same problem** with the **same landlord** and come to your agency together for assistance count as **one client**.

Columnar Entries - The report contains two data columns.

a. **All Counseling Activities -** Enter data covering **all** housing counseling activities, including those performed under one or more HUD housing counseling grants.

b. **HUD Grant Activities** - Enter data covering **only** counseling provided under one or more HUD counseling grants during the report period. include this data in the "All Counseling Activities" column.

3. **Clients Counseled This Report Period** - Enter the number of clients to whom you provided counseling during the report period. This might include clients who entered your workload the previous report period but you carried over into and counseled during the current report period.
   Enter the client count in the box that best describes the status of the clients when they first entered your workload.

   Homeless - A client reported on this line must meet the definition for "homeless" or "homeless individual" set forth in Section 103., General Definition of Homeless Individual, of the Stewart B. McKinney Homeless Assistance Act (Public Law 100-77).

   Racial/Ethnic Categories - Enter number of clients to whom you provided counseling during this period.

   a. **White (Non Hispanic)** - A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

   b. **Black (Non Hispanic)** - A person having origins in any of the black racial groups of Africa.

   c. **Hispanic** - A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish Culture or origin, regardless of race.

   d **American Indian or Alaskan Native** - A person having origins in any of the original peoples of North America, and who maintains, cultural identification through tribal affiliation or community recognition.

   e **Asian or Pacific Islander** - A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.

   Other - Throughout the form, "other" provides a general category into which you place clients who do not fall under any specific category on the form.

4. **Results of Counseling** - You might achieve more than one result for the same client during the report year.
   Example: A mortgagor in default enters into a **forbearance agreement** and later **sells the property.** Report both results on the appropriate lines.
5. **HUD Grant Activity - Summary Data -** Enter summary data from the "HUD Grant Activities" column for each grant under which you provided counseling during the report period. In the "Total" row, enter totals for the "No. of Clients" and the "Amount Invoiced' columns.
6. An authorized staff person must sign and date the report.

Housing Counseling Grant Program for 1999
Budget Worksheet

Complete this worksheet and submit it as part of your application

Uses of Funds 1	HUD 1999 Funds 2	Private Funds 3	Other Gov't. Funds 4	Other Funds 5	Total Program 6
Compensation for Counseling Services					

Instructions

Column 1 The predetermined uses allowed by HUD

Column 2 The amount the applicant is requesting from HUD under this NOFA

Column 3 Funds for FY 1999 from private sources the applicant will have available for the uses in column 1

Column 4 Funds from other government sources available for the uses in column 1

Column 5 Funds from other sources available for the uses in column 1

Column 6 The total amount of funds required by the applicant to administer its proposed housing counseling program for which the applicant is requesting HUD 1999 funds

DIRECT LABOR HOURLY RATE AND COUNSELING TIME PER CLIENT

Enter names of each bona fide Housing Counselor. Do **NOT** list any other staff	Direct-Labor Hourly Rate (DLHR)[1]	For HUD use only
Enter AVERAGE DLHR[2]		
Enter the **AVERAGE** number of hour(s) a counselor spends providing housing counseling to or on behalf of a typical client. Counseling includes **ALL** activities by the counselor in relation to the client. Indicate whether your average number of hour(s) entry is based on documentation in your files or is an estimate.	_______ hour(s) [ ] File Documentation [ ] Estimate	

[1] Enter the **DIRECT-LABOR** HOURLY RATE (hourly salary) for each Housing Counselor in dollars and cents. Do **NOT** include overhead, fringe benefits, or other operating expenses.

[2] Simple average of Direct-Labor rates for each Housing Counselor

HUD Headquarters and Homeownership Centers

HUD HEADQUARTERS - NATIONAL INTERMEDIARY APPLICATIONS

National Intermediaries are to send their applications to: Kitty M. Woodley, Director, Program Support Division, Office of Insured Single Family Housing, Department of Housing and Urban Development, 451 7th Street, S.W., Room 9166, Washington, D.C., 20410. Contact: William Feingold - telephone (202) 708-0317 (voice); and the hearing impaired may access this number by calling the Federal Information Relay Operator at 1-800-877-8339 (TTY number).

HUD HOMEOWNERSHIP CENTERS - HOUSING COUNSELING AGENCY AND STATE HOUSING FINANCE AGENCY APPLICATIONS

Housing counseling agencies and state housing finance agencies are to send their applications to:

> NOTE: The title of all those listed is: Director, Program Support Division, (Philadelphia, Atlanta, Denver, or Santa Ana) Homeownership Center, U.S. Department of Housing and Urban Development. Telephone numbers are not toll-free except as designated as a "888" or "800" number.

PHILADELPHIA HOMEOWNERSHIP CENTER	Office
Mr. Michael Perretta The Wanamaker Building 100 Penn Square East Philadelphia, PA 19107-3380 Contact: Robert Wright (215) 656-0527 x3406	Albany, Baltimore, Boston, Buffalo, Camden, Cleveland, Charleston, Cincinnati, Columbus, Detroit, Flint, Grand Rapids, Hartford, Manchester, New York, Newark Philadelphia, Pittsburgh, Providence, Richmond, District of Columbia

ATLANTA HOMEOWNERSHIP CENTER	Office
Ms. Gayle Knowlson Richard B. Russell Federal Building 75 Spring Street, S.W., Room 572 Atlanta, GA 30303-3308 Contact: Fellece Sawyer-Coleman (404) 331-5001 x2675	Atlanta, Birmingham, Caribbean, Chicago and Springfield, Columbia, Coral Gables, Greensboro, Indianapolis, Jackson, Jacksonville, Knoxville, Louisville, Memphis, Nashville, Orlando, Tampa

DENVER HOMEOWNERSHIP CENTER	Office
Ms. Jane Hall First Interstate Tower North 633 17th Street Denver, CO 80202-3607 Contact: Lorraine Griscavage-Frisbee (303) 672-5216 x1515	Albuquerque, Denver (Casper, Fargo, Sioux Falls) Dallas, De Moines, Denver, Ft. Worth, Helena, Houston, Kansas City, Little Rock, Lubbock, Milwaukee, Minneapolis, New Orleans, Oklahoma City Omaha, Salt Lake City, San Antonio Shreveport St. Louis Tulsa

SANTA ANA HOMEOWNERSHIP CENTER	Office
Mr. Jerrold Mayer 1600 N. Broadway Suite 100 Santa Ana, CA 92706-3927 Contact: Rhonda J. Rivera, Chief 1-888-827-5605 (714) 796-1200, x3210	Anchorage, Boise, Fresno, Honolulu, Las Vegas and Reno, Los Angeles, Phoenix, Portland, Sacramento, San Diego, San Francisco, Santa Ana, Seattle, Spokane, Tucson

Forms

Application for Federal Assistance

OMB Approval No. 0348-0043

2. Date Submitted	Applicant Identifier
3. Date Received by State	State Application Identifier
4. Date Received by Federal Agency	Federal Identifier

1. **Type of Submission**

Application
- ☐ Construction
- ☐ Non-Construction

Preapplication
- ☐ Construction
- ☐ Non-Construction

5. **Applicant Information**

Legal Name	Organizational Unit
Address (give city, county, State, and zip code)	Name, telephone number, and facsimile number of the person to be contacted on matters involving this application (give area codes)

6. **Employer Identification Number (EIN)**

☐

7. **Type of Applicant** (enter appropriate letter in box) ☐

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School Dist.
I. State Controlled Institution of Higher Learning
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N Non-profit
O Public Housing Agency
P. Other (Specify)

8. **Type of Application**

☐ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es) ☐ ☐

A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other (specify)

9. **Name of Federal Agency**

10. **Catalog of Federal Domestic Assistance Number** ☐

Title

11. **Descriptive Title of Applicant's Project**

12. **Areas Affected by Project** (cities, counties, States, etc.)

13. **Proposed Project**

Start Date	Ending Date

14. **Congressional Districts of**

a. Applicant	b. Project

15. **Estimated Funding** **Use form HUD-424-M (Matrix)**

a. Federal	$	.00
b. Applicant	$	.00
c. State	$	.00
d. Local	$	.00
e. Other	$	.00
f. Program Income	$	.00
g. **Total**	$	.00

16. **Is Application Subject to Review by State Executive Order 12372 Process?**

a. **Yes** This preapplication/application was made available to the State Executive Order 12372 Process for review on

Date:____

b. **No** ☐ Program is not covered by E.O. 12372

or ☐ Program has not been selected by State for review.

17. **Is the Applicant Delinquent on Any Federal Debt?**

☐ Yes If "Yes," explain below or attach an explanation ☐ No

18. To the best of my knowledge and belief, all data in this application/preapplication are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Typed Name of Authorized Representative	b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item	Entry
1.	Self-explanatory.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).
3.	State use only (if applicable).
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7.	Enter the appropriate letter in the space provided.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: – "New" means a new assistance award. – "Continuation" means an extension for an additional funding budget period for a project with a projected completion date. – "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9.	Name of Federal agency from which assistance is being requested with this application.
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
I11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

Item	Entry
12.	List only the largest political entities affected (e.g., State, counties, cities).
13.	Self-explanatory.
14.	List the applicant's Congressional District and any District(s) affected by the program or project.
15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process
I17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

Federal Assistance Funding Matrix

The applicant must provide the funding matrix shown below, listing each program for which Federal funding is being requested.

Program	Applicant Share	Federal Share	State Share	Local	Other	Program Income	Total
Grand Totals							

Authorized Official Signature	Name (printed)

Title	Date

Instructions for the HUD-424-M

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

This form is to be used by applicants requesting funding from the Department of Housing and Urban Development for application submissions for Federal assistance.

Complete the funding matrix as follows:

Program: The HUD funding program you are applying under.

Applicant Share: Enter the amount of funds or cash equivalent of in-kind contributions you are contributing to your project or program of activities.

Federal Share: Enter the amount of HUD funds you are requesting with your application.

State Share: Enter the amount of funds or cash equivalent of in-kind services the State is contributing to your project or program of activities.

Local Share: Enter the amount of funds or cash equivalent of in-kind services your local government is contributing to your project or program of activities.

Other: Enter the amount of other sources of private, non-profit, or other funds or cash equivalent of in-kind services being contributed to your project or program of activities.

Program Income: Enter the amount of program income you expect to generate and contribute to this program over the life of your award.

Total: Please total all columns and fill in the amounts.

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of

project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official	Title
Applicant Organization	Date Submitted

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Program/Activity Receiving Federal Grant Funding

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federalagency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official	Title
Signature X	Date

Certification of Payments to Influence Federal Transactions

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

Applicant Name

Program/Activity Receiving Federal Grant Funding

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official	Title

Signature	Date
X	

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for Instructions.)

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

1. Type of Federal Action (enter appropriate letter)
- a. contract
- b. grant
- c. cooperative agreement
- d. loan
- e. loan guarantee
- f. loan insurance

2. Status of Federal Action (enter appropriate letter)
- a. bid/offer/application
- b. initial award
- c. post-award

3. Report Type (enter appropriate letter)
- a. initial filing
- b. material change

For Material Change Only
year __________ quarter ___________
date of last report __________________

4. Name and Address of Reporting Entity
☐ Prime ☐ Subawardee Tier , if known

Congressional District, if known

5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime

Congressional District, if known

6. Federal Department/Agency

7. Federal Program Name/Description

CFDA Number, if applicable

8. Federal Action Number, if known

9. Award Amount, if known
$

10a. Name and Address of Lobbying Registrant
(if individual, last name, first name, MI)

b. Individuals Performing Services (including address if different from No. 10a.)
(last name, first name, MI)

11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signature

Print Name

Title

Telephone No.

Date

Federal Use Only

Authorized for Local Reproduction
Standard Form-LLL (1/96)

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5.If the organization filing the report in item 4 checks “Subawardee”, then enter the full name, address, city, state and zip code of the prime Federal recipient, Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., “RFP-DE-90-001.”

9.For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Additional Instructions for Completing form HUD-2880

All applicants must complete form HUD-2880, Applicant Disclosure/Update report. However, full completion may not be required. Answer the questions below as they pertain to your proposed project, then prepare the form as instructed.

Question 1. Are other Federal funds involved in the proposed project?

If "No," complete **only** Parts I and II and **sign** the form on page 3.

If "Yes," go to question 2.

Question 2. Is the total amount of HUD, State, or local government funds for this specific project/ activity less than $200,000?

If "Yes," complete **only** Parts I and II and **sign** the form on page 3.

If "No," complete the **entire** form and **sign** the form on page 3.

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing and Urban Development
Office of Ethics

OMB Approval No. 2510-0011
& 2506-0167 (exp. 1/31/99)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 4.)

Part I Applicant/Recipient Information **Indicate whether this is an Initial Report** ☐ **or an Update Report** ☐

1. Applicant/Recipient Name, Address, and Phone (include area code)		Social Security Number or Employer ID Number
2. Project Assisted/ to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State)		
3. Assistance Requested/Received	4. HUD Program	5. Amount Requested/Received $

Part II. Threshold Determinations -- Applicants Only

1. Are you requesting HUD assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, **and** have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government, in excess of $200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted? ☐ **Yes** ☐ **No**

   If Yes, you must complete the remainder of this report.

   If No, you must sign the certification below and answer the next question.

   I hereby certify that this information is true. (Signature)____________________ Date ________

2. Is this application for a specific housing project that involves other government assistance? ☐ **Yes** ☐ **No**

   If Yes, you must complete the remainder of this report.

   If No, you must sign this certification.

   I hereby certify that this information is true. (Signature)____________________ Date ________

If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

Part III. Other Government Assistance Provided/Requested

Department/State/Local Agency Name and Address	Program	Type of Assistance	Amount Requested/Provided

Is there other government assistance that is reportable in this Part and in Part V, but that is reported only in Part V? ☐ Yes ☐ No

If there is no other government assistance, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ____________________ Date ________

Part IV. Interested Parties

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)	Social Security Number or Employee ID Number	Type of Participation in Project/Activity	Financial Interest in Project/Activity ($ and %)

If there are no persons with a reportable financial interest, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ______________________ Date __________

Part V. Report on Expected Sources and Uses of Funds

Source

If there are no sources of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ______________________________ Date __________

Use

If there are no uses of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ______________________________ Date __________

Certification

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosure of information, including intentional non-disclosure, is subject to civil money penalty not to exceed $10,000 for each violation.

I certify that this information is true and complete.

Signature	Date

Public reporting burden for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collecton displays a valid OMB control number.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §12.34.

Note: This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

Instructions (See Note 1 on last page.)

I. Overview. Subpart C of 24 CFR Part 12 provides for (1) initial reports from applicants for HUD assistance and (2) update reports from recipients of HUD assistance. An overview of these requirements follows.

A. Applicant disclosure (initial) reports: General. All applicants for assistance from HUD for a specific project or activity must make a number of disclosures, if the applicant meets a dollar threshold for the receipt of covered assistance during the fiscal year in which the application is submitted. The applicant must also make the disclosures if it requests assistance from HUD for a specific housing project that involves assistance from other governmental sources.

Applicants subject to Subpart C must make the following disclosures:

Assistance from other government sources in connection with the project,

The financial interests of persons in the project,

The sources of funds to be made available for the project, and

The uses to which the funds are to be put.

B. Update reports: General. All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

C. Applicant disclosure reports: Specific guidance. The applicant must complete all parts of this disclosure form if **either** of the following **two** circumstances in paragraph 1. or 2., below, applies:

1.a. Nature of Assistance. The applicant submits an application for assistance for a specific project or activity (See Note 2) in which:

HUD makes assistance available to a recipient for a specific project or activity; or

HUD makes assistance available to an entity (other than a State or a unit of general local government), such as a public housing agency (PHA), for a specific project or activity, where the application is required by statute or regulation to be submitted to HUD for any purpose; **and**

b. Dollar Threshold. The applicant has received, or can reasonably expect to receive, an aggregate amount of all forms of assistance (See Note 3) from HUD, States, and units of general local government, in excess of $200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted. (See Note 4)

2. The applicant submits an application for assistance for a specific housing project that involves other government assistance. (See Note 5) Note: There is no dollar threshold for this criterion: **any** other government assistance triggers the requirement. (See Note 6)

If the Application meets **neither** of these two criteria, the applicant need only complete Parts I and II of this report, as well as the certification at the end of the report. If the Application meets **either** of these criteria, the applicant must complete the entire report.

The applicant disclosure report must be submitted with the application for the assistance involved.

D. Update reports: Specific guidance. During the period in which an application for covered assistance is pending, or in which the assistance is being provided (as indicated in the relevant grant or other agreement), the applicant must make the following additional disclosures:

1. Any information that should have been disclosed in connection with the application, but that was omitted.

2. Any information that would have been subject to disclosure in connection with the application, but that arose at a later time, including information concerning an interested party that now meets the applicable disclosure threshold referred to in Part IV, below.

3. For changes in previously disclosed other government assistance:

For programs administered by the Assistant Secretary for Community Planning and Development, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed by $250,000 or by 10 percent of the assistance (whichever is lower).

For all other programs, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed.

4. For changes in previously disclosed financial interests, any change in the amount of the financial interest of a person that exceeds the amount of the previously disclosed interests by $50,000 or by 10 percent of such interests (whichever is lower).

5. For changes in previously disclosed sources or uses of funds:

a. For programs administered by the Assistant Secretary for Community Planning and Development:

Any change in a source of funds that exceeds the amount of all previously disclosed sources of funds by $250,000 or by 10 percent of those sources (whichever is lower); and

Any change in a use of funds under paragraph (b)(1)(iii) that exceeds the amount of all previously disclosed uses of funds by $250,000 or by 10 percent of those uses (whichever is lower).

b. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a source of funds that was previously disclosed.

For all other projects, any change in a source of funds that exceeds the lower of:

The amount previously disclosed for that source of funds by $250,000, or by 10 percent of the amount previously disclosed for that source, whichever is lower; or

The amount previously disclosed for all sources of funds by $250,000, or by 10 percent of the amount previously disclosed for all sources of funds, whichever is lower.

c. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a use of funds that was previously disclosed.

For all other projects, any change in a use of funds that exceeds the lower of:

The amount previously disclosed for that use of funds by $250,000, or by 10 percent of the amount previously disclosed for that use, whichever is lower; or

The amount previously disclosed for all uses of funds by $250,000, or by 10 percent of the amount previously disclosed for all uses of funds, whichever is lower.

Note: Update reports must be submitted within 30 days of the change requiring the update. The requirement to provide update reports only applies if the application for the underlying assistance was submitted on or after the effective date of Subpart C.

II. Line-by-Line Instructions.

A. Part I. Applicant/Recipient Information.

All applicants for HUD assistance specified in Section I.C.1.a., above, as well as all recipients required to submit an update report under Section I.D., above, must complete the information required by Part I. The applicant/recipient must indicate whether the disclosure is an initial or an update report. Line-by-line guidance for Part I follows:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.

2. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

3. Applicants describe the HUD assistance referred to in Section I.C.1.a. that is being requested. Recipients describe the HUD assistance to which the update report relates.

4. Applicants enter the HUD program name under which the assistance is being requested. Recipients enter the HUD program name under which the assistance, that relates to the update report, was provided.

5. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.

Note: In the case of Mortgage Insurance under 24 CFR Subtitle B, Chapter II, the mortgagor is responsible for making the applicant disclosures, and the mortgagee is responsible for furnishing the mortgagor's disclosures to the Department. Update reports must be submitted directly to HUD by the mortgagor.

Note: In the case of the Project-Based Certificate program under 24 CFR Part 882, Subpart G, the owner is responsible for making the applicant disclosures, and the PHA is responsible for furnishing the owner's disclosures to HUD. Update reports must be submitted through the PHA by the owner.

B. Part II. Threshold Determinations — Applicants Only

Part II contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

1. The first question asks whether the applicant meets the Nature of Assistance and Dollar Threshold requirements set forth in Section I.C.1. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct, and to complete the next question.

2. The second question asks whether the application is for a specific housing project that involves other government assistance, as described in Section I.C.2. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct.

If the answer to both questions1 and 2 is No, the applicant need not complete Parts III, IV, or V of the report, but must sign the certification at the end of the form.

C. Part III. Other Government Assistance.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports. Applicants must report any other government assistance involved in the project or activity for which assistance is sought. Recipients must report any other government assistance involved in the project or activity, to the extent required under Section I.D.1., 2., or 3., above.

Other government assistance is defined in note 5 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available. Include at least one organizational level below the agency name. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.

2. Enter the program name and any relevant identifying numbers, or other means of identification, for the other government assistance.

3. State the type of other government assistance (e.g., loan, grant, loan insurance).

4. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).

If the applicant has no other government assistance to disclose, it must certify that this assertion is correct.

To avoid duplication, if there is other government assistance under this Part and Part V, the applicant/recipient should check the appropriate box in this Part and list the information in Part V, clearly designating which sources are other government assistance.

D. Part IV. Interested Parties.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

Applicants must provide information on:

(1) All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and

(2) any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds $50,000 or 10 percent of the assistance (whichever is lower).

Recipients must make the additional disclosures refferred to in Section I.D.1.,2., or 4, above.

Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses of all persons referred to in paragraph (1) or (2) of this Part. If the person is an entity, the listing must include the full name of each officer, director, and principal stockholder of the entity. All names must be listed alphabetically, and the names of individuals must be shown with their last names first.

2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.

3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).

4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

If the applicant has no persons with financial interests to disclose, it must certify that this assertion is correct.

5. Part V. Report on Sources and Uses of Funds. This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

The applicant disclosure report must specify all expected sources of funds — both from HUD and from any other source — that have been, or are to be, made available for the project or activity. Non-HUD sources of funds typically include (but are not limited to) other government assistance referred to in Part III, equity, and amounts from foundations and private contributions. The report must also specify all expected uses to which funds are to be put. All sources and uses of funds must be listed, if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the source or use will be forthcoming.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

General Instructions — sources of funds

Each reportable source of funds must indicate:

a. The name and address, city, State, and zip code of the individual or entity making the assistance available. At least one organizational level below the agency name should be included. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.

b. The program name and any relevant identifying numbers, or other means of identification, for the assistance.

c. The type of assistance (e.g., loan, grant, loan insurance).

Specific instructions — sources of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each source of funds must indicate the total amount of approved, and received; and must be listed in descending order according to the amount indicated.

(2) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each source of funds must indicate the total amount of funds involved, and must be listed in descending order according to the amount indicated.

(3) If Tax Credits are involved, the report must indicate all syndication proceeds and equity involved.

General instructions—uses of funds.

Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a number of structural costs, such as roof, evevators, exterior masonry, etc.

Specific instructions -- uses of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each use of funds must indicate the total amount of funds involved; must be broken down by amount committed, budgeted, and planned; and must be listed in descending order according to the amount indicated.

(ii) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each use of funds must indicate the total amount of funds involved and must be listed in descending order according to the amount involved.

(iii) If any program administered by the Assistant Secretary for Housing-Federal Housing Commissioner is involved, the report must indicate all uses paid from HUD sources and other sources, including syndication proceeds. Uses paid should include the following amounts.

AMPO
Architect's fee — design
Architect's fee — supervision
Bond premium
Builder's general overhead
Builder's profit
Construction interest
Consultant fee
Contingency Reserve
Cost certification audit fee
FHA examination fee
FHA inspection fee
FHA MIP
Financing fee
FNMA / GNMA fee
General requirements
Insurance
Legal — construction
Legal — organization
Other fees
Purchase price
Supplemental management fund
Taxes
Title and recording
Operating deficit reserve
Resident initiative fund
Syndication expenses
Working capital reserve
Total land improvement
Total structures

Uses paid from syndication must include the following amounts:

Additional acquisition price and expenses
Bridge loan interest
Development fee
Operating deficit reserve
Resident initiative fund
Syndication expenses
Working capital reserve

Footnotes:

1. All citations are to 24 CFR Part 12, which was published in the Federal Register on March 14, 1991 at 56 Fed. Reg. 11032.
2. A list of the covered assistance programs can be found at 24 CFR §12.30, or in the rules or administrative instructions governing the program involved. Note: The list of covered programs will be updated perodically.
3. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).
4. See 24 CFR §§12.32 (a)(2) and (3) for detailed guidance on how the threshold is calculated.
5. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
6. For further guidance on this criterion, and for a list of covered programs, see 24 CFR §12.50.
7. For purposes of Part 12, a person means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

Certification Regarding Debarment and Suspension

U.S. Department of Housing and Urban Development

Certification A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief that its principals;

a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal debarment or agency;

b. Have not within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (A)

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was place when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of these regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines this eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10.Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (B)

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a lower covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

Applicant	Date

Signature of Authorized Certifying Official	Title

Certification of Consistency with the EZ/EC Strategic Plan

U.S. Department of Housing and Urban Development

I certify that the proposed activities/projects in this application are consistent with the Strategic Plan of a Federally-designated Empowerment Zone (EZ), Enterprise Community (EC), or Urban Enhanced Enterprise Community.

(Type or clearly print the following information:)

Applicant Name: ____________________

Name of the Federal Program to which the applicant is applying: ____________________

Name of EZ/EC: ____________________

I further certify that the proposed activities/projects will be located within the EZ/EC and serves EZ/EC residents. (2 points)

Name of the Official Authorized to Certify the EZ/EC: ____________________

Title: ____________________

Signature: ____________________

Date: ____________________

form **HUD-2990** (3/98)

Certification of Consistency with the Consolidated Plan

U.S. Department of Housing and Urban Development

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan. (Type or clearly print the following information:)

Applicant Name: ______________________________

Project Name: ______________________________

Location of the Project: ______________________________

____

____

Name of the Federal Program to which the applicant is applying: ______________________________

Name of Certifying Jurisdiction: ______________________________

Certifying Official of the Jurisdiction Name: ______________________________

Title: ______________________________

Signature: ______________________________

Acknowledgment of Application Receipt

U.S. Department of Housing and Urban Development

Type or clearly print the Applicant's name and full address in the space below.

(fold line)

Type or clearly print the following information:

Name of the Federal Program to which the applicant is applying: ____________________

To Be Completed by HUD

☐ HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

☐ HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

- ☐ Enclosed
- ☐ Being sent under separate cover

Processor's Name ____________________

Date of Receipt ____________________

You are our Client!
Your comments and suggestions, please!

In the spirit of reinventing government, as outlined in Vice-President Al Gore's National Performance Review, much attention has been given to streamlining and simplifying the application process. While working within the statutes governing the application and selection process, we have, in preparing this Notice of Funding Availability (NOFA) and application form, tried to produce a more user-friendly, customer driven document. Please let us have your comments and suggestions. You may leave this form attached to your application, or feel free to detach the form and return to us.

Please Provide Comments on HUD's Efforts:

The NOFA (please circle one):

(a) is clear and easily understandable

(b) better than before, but still needs improvement (please specify)

(c) other (please specify)

The application form (please circle one):

(a) is acceptable given the volume of information required by statute and the volume of information required for accountability in selecting and funding projects.

(b) is simpler and more user-friendly than before, but still needs work (please specify).

(c) other comments (please specify)

Name & Organization (Optional):

Attach additional pages as necessary.